

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Agarwal et al.

Serial No.: Not Yet Assigned

Group Art Unit: Unknown

Filing Date: Concurrently Herewith

Examiner: Unknown

For: **SYSTEMS, METHODS AND COMPUTER PROGRAMS FOR DETERMINING
DEPENDENCIES BETWEEN LOGICAL COMPONENTS IN A DATA
PROCESSING SYSTEM OR NETWORK**

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Under the provisions of 37 CFR §1.97 through §1.99 and pursuant to applicants' duty of disclosure under 37 CFR §1.56, applicants respectfully bring the following documents, listed on the attached form PTO-1449, to the attention of the Examiner in charge of the above-identified application. Copies of the listed documents are provided herewith for the convenience of the Examiner. This citation does not constitute an admission that the references are relevant or material to the claims. They are only cited as constituting related art of which the applicants are aware.

It is respectfully requested that the listed references be considered by the Examiner and formally made of record in this application.

Please charge any deficiencies in fees and credit any overpayment of fees to
Attorney's Deposit Account No. 09-0441.

Respectfully submitted,



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<p>Substitute for form 1449/PTO and PTO/SB/08</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(use as many sheets as necessary)</p>				Complete if Known	
				Application Number	
				Filing Date	
				First Name of Inventor	Manoj Agarwal
				Art Unit	
				Examiner Name	
Sheet	1	of	3	Attorney Docket No	JP920030099US1

US PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-2002/0198983-A1	12-26-2002	Ullmann et al	
		US-2001/0020251-A1	09-06-2001	Sheikh et al	
		US-5,664,093	09-02-1997	Barnett et al	
		US-6,327,677-B1	12-04-2001	Garg et al	
		US-2001/0052087-A1	12-13-2001	Garg et al	
		US-6,249,885-B1	06-19-2001	Johnson et al	
		US-5,696,701	12-09-1997	Burgess et al	
		US-			

FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)			

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				First Named Inventor	Manoj Agarwal
				Art Unit	
				Examiner Name	
Sheet	2	of	3	Attorney Docket No	JP920030099US1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No ¹	Include name of Author (in CAPITALS), title of the article, (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		R Agarwal, T. Imielinski, and A. Swami, "Mining association rules between sets of items in large databases", <i>In Proc. Of the ACM SIGMOD Conference on Management of Data</i> , pages 207-216, May 1993.	
		J. Aman, C.K. Eilert, D. Emmes, P. Yocom, D. Dillenberger, "Adaptive Algorithms for managing a distributed data processing workload", <i>IBM Systems Journal</i> , vol. 36, no. 2, 1997.	
		"Systems Management: Application Response Measurement (ARM) API", OpenGroup Technical Standard C807, UK ISBN 1 85912-211-6 July 1998.	
		S. Bagchi, G. Kar, J.L. Hellerstein, "Dependency Analysis in Distributed Systems using Fault Injection: Application to Problem Determination in an e-commerce Environment" 12 th International Workshop on Distributed Systems: Operations & Management, Nancy, France, 2001.	
		A. Brown, G. Kar, and A Keller, "An Active Approach to Characterizing Dynamic Dependencies for Problem Determination in a Distributed Environment", <i>International IFIP/IEEE Symposium on Integrated Network Management</i> , 2001.	
		M.Y. Chen, E. Kiciman, E. Fratkin, A. Fox, and E. Brewer, "Pinpoint: Problem Determination in Large, Dynamic Internet Services", <i>International Conference on Dependable Systems and Networks (DSN'02)</i> , June 2002.	
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		J.L. Hellerstein and S. Ma, "Mining Event Data for Actionable Patterns", The Computer Measurement Group, 2000	
		A. K. Iyengar, M. S. Squillante, L. Zhang, "Analysis and Characterization of Large-Scale Web Server Access Patterns and Performance", <i>World Wide Web</i> vol. 2, #1, 2, June 1999.	

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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14.

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				Art Unit	
				Examiner Name	
Sheet	3	of	3	Attorney Docket No	JP920030099US1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No ¹	Include name of Author (in CAPITALS), title of the article, (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		M.J. Katchabaw et al, "Making Distributed Applications Manageable Through Instrumentation," <i>Journal of Systems and Software</i> , Vol.45, 1997	
		S. Katker, "A Modeling Framework for Integrated Distributed Systems Fault Management", Proceedings of the IFIP/IEEE International Conference on Distributed Platforms ICDP'96, Dresden, Germany, 1996.	
		A.Keller and G.Kar, "Classification and Computation of Dependencies for Distributed Management", <i>5th IEEE Symposium on Computers and Communications (ISCC)</i> , July 2000.	
		F. Kon and R. H. Campbell, "Dependence Management in Component-Based Distributed Systems," <i>IEEE Concurrency</i> , Vol. 8, No. 1, pp. 26-36, Jan-Mar 2000.	
		S. Rangaswamy, R. Willenborg, and W. Qiao, "Writing a Performance Monitoring Tool Using WebSphere Application Server's Performance Monitoring Infrastructure API", In <i>IBM WebSphere Developer Technical Journal</i> , February 2002.	
		M. Steinder and A. S. Sethi, "Multi-layer Fault Localization using Probabilistic Inference in Bipartite Dependency Graphs", Technical Report 2001-02, CIS Dept., Univ. of Delaware, Feb 2001.	
		D. Thoenen, J. Riosa, and J. L. Hellerstein, "Event Relationship Networks: A Framework for Action Oriented Analysis for Event Management," <i>Proceedings of the IFIP/IEEE International Symposium on Integrated Network Management</i> , Seattle, WA, May 2001, IEEE, New York (2001), pp. 593-606.	
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